



# TRANSMITTAL FORM

Application No.:	9/391	0	2188
Filing Date:	Septe er 7, 1999		
First Named Inventor:	Paul Carpenter		
Group Art Unit	2787		
Examiner:	To be assigned		
Total Number of Pages in this Submission:	16	Docket No.	FP-004

## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Authorization for the Commissioner to charge Deposit Account No. 05-0889 (in duplicate).	<input type="checkbox"/> Response to Missing Parts/Incomplete Application	<input type="checkbox"/> Petition for Revival of an Unintentionally Abandoned Application [37 CFR 1.137(b)]
<input type="checkbox"/> Amendment/Response	<input type="checkbox"/> Declaration/Power of Attorney	<input type="checkbox"/> Continued Prosecution Application (CPA)
<input type="checkbox"/> After Final	<input checked="" type="checkbox"/> Power of Attorney, Change of Correspondence Address	<input type="checkbox"/> Express Abandonment Request
<input type="checkbox"/> Affidavits/Decl.	<input checked="" type="checkbox"/> Revocation of Power of Attorney or Authorization of Agent	<input type="checkbox"/> Terminal Disposition
<input type="checkbox"/> Extension of Time Request for 3 Months	<input type="checkbox"/> Issue Fee Payment on USPTO Form PTOL-85B, "Part B—Issue Fee Transmittal"	<input checked="" type="checkbox"/> Statement Under 37 CFR 3.73(b), Copy of Recorded Assignment and Recordation Cover Sheet, Supplemental Statement, Facsimile Confirmation, and Patent Assignment from Wave Research NV to EMC Corporation
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Formal Drawings, labeled Letter/Transmittal to Official Draftsperson	<input checked="" type="checkbox"/> Certificate of First Class Mailing
<input type="checkbox"/> Assignment Recordation Cover Sheet	<input type="checkbox"/> Copy of PTO 948, "Notice of Draftsperson's Patent Review	<input type="checkbox"/> Certificate of Express Mail Mailing
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Status Inquiry	<input checked="" type="checkbox"/> Postcard

## SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

12-12-0

*LJF/1*

Leanne J. Fitzgerald (Reg. No. 40,606)

EMC Corporation

Office of the General Counsel

35 Parkwood Avenue

Hopkinton, MA 01748-9103

Tel: (508) 435-1000, ext. 77256  
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## CERTIFICATE OF MAILING OR TRANSMISSION (37 CFR 1.8)

I hereby certify that this correspondence is being:

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- Transmitted by facsimile on the date shown below to the Patent and Trademark Office at (703) 746-7239.

December 13, 2001

*Patricia MacMunn*  
PATRICIA MACMUNN

Typed or printed name of person signing certificate

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT:	Paul R. Carpentier, et al.	GROUP ART UNIT:	231
Serial No.:	09/391,360	EXAMINER:	Not Yet Assigned
FILING DATE:	September 7, 1999	CONFIRMATION NO.	Not Yet Assigned
TITLE:	<i>SYSTEM AND METHOD FOR SECURE STORAGE, TRANSFER AND RETRIEVAL OF CONTENT ADDRESSABLE INFORMATION</i>		

Assistant Commissioner for Patents  
Washington, DC 20231

**SUPPLEMENT TO STATEMENT UNDER 37 CFR 3.73(b)**

Sir:

Please consider the Patent Assignment dated November 26, 2001, assigning three (3) pending patent applications pursuant to the Stock and Asset Purchase Agreement dated March 28, 2001 between FilePool N.V. formerly known as Wave Research N.V. and EMC Corporation, that was forwarded to the U.S. Patent and Trademark Office, Assignment Division, via facsimile on November 28, 2001, as proof of the chain of title from the inventors. A copy of Applicant's Facsimile Confirmation Report is attached hereto.

In the event the Patent Office deems personal contact desirable in disposition of this matter, the Office is invited to contact the undersigned attorney at (508) 435-1000 Ext. 77256.

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Atty. Docket No.: FP-004  
U.S. Serial No. 09/391,360

Please charge any fees occasioned by this submission to Deposit Account No. 05-0889.

Respectfully submitted,

Dated: 12-12-01

Leanne J. Fitzgerald  
Leanne J. Fitzgerald (Reg. No. 40,606)  
Attorney for Applicant  
EMC Corporation  
35 Parkwood Drive  
Hopkinton, MA 01748-9103  
508.435.1000, ext. 77256  
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Confirmation Report - Memory Send



Time : 11-28-01 12:25pm  
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Where Information Lives

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*Office of the General Counsel*  
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Hopkinton, Massachusetts

**Fax: 508-293-7189**  
**Voice: 508-293-6260**

To: Assignment Division Co: USPTO Tel: Fax: 703-308-7124 From: Leanne J. Fitzgerald	Date: 28 November 2001
	No. pages including this cover sheet 7

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Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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The following papers listed below are submitted:

Assignment Recordation Cover Sheet, Patent Assignment from FilePool N.V. fka WaveResearch N.V. to EMC Corporation with attached Exhibit A for Patent Applications:

- 1) Serial No. 09/236,366 Assignment recorded April 19, 1999 to WaveResearch N.V., Reel/Frame 09880/0944
- 2) Serial No. 09/235,146 Assignment recorded October 8, 1999 to WaveResearch N.V., Reel/Frame 10308/0823
- 3) Serial No. 09/391,360 Assignment recorded March 14, 2000 to WaveResearch N.V., Reel/Frame 10687/0055



Form PTO-1595

(Rev. 03/01)

OMB No. 0651-0027 (exp. 5/31/2002)

JAN 07 2002

RECORDATION FORM COVER SHEET

## PATENTS ONLY

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To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

FilePool N.V., formerly known as WaveResearch N.V.

Additional name(s) of conveying party(ies) attached?  Yes  No

## 3. Nature of conveyance:

<input checked="" type="checkbox"/> Assignment	<input type="checkbox"/> Merger
<input type="checkbox"/> Security Agreement	<input type="checkbox"/> Change of Name
<input type="checkbox"/> Other _____	

Execution Date: November 26, 2001

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

## A. Patent Application No.(s)

09/236,366

09/235,146

## B. Patent No.(s)

Additional numbers attached?  Yes  No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Leanne J. Fitzgerald

Internal Address: EMC Corporation

Street Address: 35 Parkwood Drive

City: Hopkinton State: MA Zip: 01748

6. Total number of applications and patents involved:  3

7. Total fee (37 CFR 3.41)..... \$ 120.00

 Enclosed Authorized to be charged to deposit account

## 8. Deposit account number:

05-0889

(Attach duplicate copy of this page if paying by deposit account)

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## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Leanne J. Fitzgerald

Name of Person Signing

Signature

11.28.01

Date

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Total number of pages including cover sheet, attachments, and documents

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Internal Address: \_\_\_\_\_  
Street Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP: \_\_\_\_\_

Additional name(s) & address(es) attached?  Yes  No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

09/391,360

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B. Patent No.(s)

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Additional numbers attached?

Yes  No

## PATENT ASSIGNMENT

WHEREAS, FilePool N.V., formerly known as WaveResearch N.V., a Belgium corporation having a principal place of business at Zorgvliet 17, 2860 Sint-Katelijne-Waver, Belgium, hereinafter referred to as "ASSIGNOR," is the owner of the entire right, title and interest in and to certain pending U.S. patent applications identified in Exhibit A hereto, and in and to the inventions described therein, (collectively "the Assigned Patent Application"); and

WHEREAS, EMC CORPORATION, a Massachusetts corporation having its principal place of business in Hopkinton, Massachusetts, hereinafter referred to as "ASSIGNEE", desires to acquire ASSIGNOR's entire right, title and interest in and to the Assigned Patent Application;

WHEREAS, ASSIGNOR and ASSIGNEE have entered into a Stock and Asset Purchase Agreement dated as of March 28, 2001 pursuant to which ASSIGNEE has agreed to purchase from ASSIGNOR, and ASSIGNOR has agreed to sell to ASSIGNEE, among other things, the Assigned Patent Applications.

NOW THEREFORE, for good and valuable consideration, receipt of which is hereby acknowledged by ASSIGNOR, ASSIGNOR has assigned, and by these presents does assign to ASSIGNEE its entire right, title and interest in and to the Assigned Patent Applications, and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States. The right, title and interest is to be held and enjoyed by ASSIGNEE and ASSIGNEE's successors and assigns as fully and exclusively as it would have been held and enjoyed by ASSIGNOR had this assignment not been made, for the full term of any Letters Patent which may be granted thereon, or of any division, renewal, continuation in whole or in part, conversion, reissue, prolongation or extension thereof.

ASSIGNOR further agrees that ASSIGNOR will, without charge to ASSIGNEE, but at ASSIGNEE's expense, (a) cooperate with ASSIGNEE in the prosecution of the Assigned Patent Applications, (b) execute, verify, acknowledge and deliver all such further papers, including, without limitation, patent applications, and instruments of transfer thereof, and (c) perform such other acts as ASSIGNEE lawfully may request to obtain or maintain the Assigned Patent Applications and any Patents issuing therefrom in any and all countries, and to vest and perfect title thereto in ASSIGNEE, or ASSIGNEE's successors and assigns.

IN TESTIMONY WHEREOF, this Agreement is executed this 26<sup>th</sup> day of  
November, 2001.

FilePool N.V., fka Wave Research N.V.

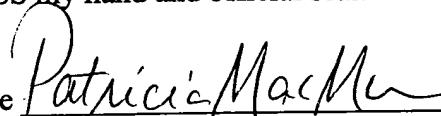
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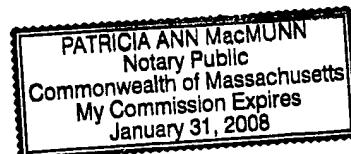
PAUL T. DACIER  
Sr. Vice President and General Counsel

COMMONWEALTH OF MASSACHUSETTS)  
COUNTY OF MIDDLESEX )

On November 26, 2001, before me, a notary public, *Paul T. Dacier, Senior Vice President and General Counsel*, personally appeared and proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the entity upon behalf of which the person acted, execute the instrument.

WITNESS my hand and official seal.

Signature  (Seal)





## EXHIBIT A

### PENDING UNITED STATES PATENT APPLICATIONS

U.S. Serial No.	Title	Inventors	Filing Date	Assignment Data
09/236,366	Content Addressable Information Encapsulation, Representation, and Transfer	Paul R. Carpentier Jan F. Van Riel Tom Teugels	January 21, 1999	Assignment from Paul R. Carpentier, Tom Teugels, and Jan F. Van Riel to Wave Research N.V. dated April 12, 1999.
09/235,146	Access to Content Addressable Data Over A Network	Paul R. Carpentier Jan F. Van Riel Tom Teugels	January 21, 1999	Assignment from Paul R. Carpentier, Tom Teugels, and Jan F. Van Riel to Wave Research N.V. dated October 8, 1999.
09/391,360	System and Method for Secure Storage, Transfer and Retrieval of Content Addressable Information	Paul R. Carpentier Jan F. Van Riel Tom Teugels	September 7, 1999	Assignment from Paul R. Carpentier, Tom Teugels, and Jan F. Van Riel to Wave Research N.V. dated March 14, 2000.